

Criminal Case Cover Sheet

U.S. District Court - District of Massachusetts

Place of Offense: Hopkinton Category No. I Investigating Agency FDA

City Massachusetts Related Case Information:

County Middlesex Superseding Ind./ 09 CR 10330 GAO Case No. 10330
Same Defendant GAO New Defendant
Magistrate Judge Case Number
Search Warrant Case Number
R 20/R 40 from District of

Defendant Information:

Defendant Name Stryker Biotech, LLC Juvenile ☐ Yes ☒ No

Alias Name

Address

Birth date (Year only): SSN (last 4 #): Sex Race: Nationality:

Defense Counsel if known: Brien O'Connor, Ropes & Gray Address: 1 International Place, Boston, MA

Bar Number:

U.S. Attorney Information:

AUSA Jeremy Sternberg Bar Number if applicable

Interpreter: ☐ Yes ☒ No List language and/or dialect:

Victims: ☒ Yes ☐ No If Yes, are there multiple crime victims under 18 U.S.C. §3771(d)(2) ☒ Yes ☐ No

Matter to be SEALED: ☐ Yes ☒ No

☐ Warrant Requested ☒ Regular Process ☐ In Custody

Location Status:

Arrest Date:

☐ Already in Federal Custody as in

☐ Already in State Custody ☐ Serving Sentence ☐ Awaiting Trial

☐ On Pretrial Release: Ordered by on

Charging Document: ☐ Complaint ☐ Information ☒ Indictment

Total # of Counts: ☐ Petty ☐ Misdemeanor ☒ Felony 13

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.

Date: 10-28-09 Signature of AUSA: Jeremy Sternberg

JS 45 (5/97) - (Revised USAO MA 11/15/05) Page 2 of 2 or Reverse

District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant _____

U.S.C. Citations

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 USC §1343</u>	<u>wire fraud</u>	<u>1 to 5</u>
Set 2	<u>18 USC §371</u>	<u>conspiracy</u>	<u>6</u>
Set 3	<u>21 USC §331(k)</u>	<u>misbranding</u>	<u>7 to 12</u>
Set 4	<u>18 USC §1001</u>	<u>false statements</u>	<u>15</u>
Set 5	_____	_____	_____
Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION:

Criminal Case Cover Sheet**U.S. District Court - District of Massachusetts**Place of Offense: Hopkinton Category No. 1 Investigating Agency FDACity Massachusetts Related Case Information **09 CR 10330 GAO**County Middlesex Superseding Ind./ Inf. _____ Case No. _____

Same Defendant _____ New Defendant _____

Magistrate Judge Case Number _____

Search Warrant Case Number _____

R 20/R 40 from District of _____

Defendant Information:Defendant Name Mark Philip Juvenile ☐ Yes ☒ No

Alias Name _____

Address Lexington, MassachusettsBirth date (Year only): 1955 SSN (last 4 #): 9108 Sex M Race: _____ Nationality: BritishDefense Counsel if known: Stephen Huggard Address: 111 Huntington Ave, Boston, MA

Bar Number: _____

U.S. Attorney Information:AUSA Jeremy Sternberg Bar Number if applicable _____Interpreter: ☐ Yes ☒ No List language and/or dialect: _____Victims: ☒ Yes ☐ No If Yes, are there multiple crime victims under 18 U.S.C. §3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☐ Yes ☒ No☒ Warrant Requested☒ Regular Process☐ In Custody

Location Status: _____

Arrest Date: _____

☐ Already in Federal Custody as _____ in _____☐ Already in State Custody _____ ☐ Serving Sentence ☐ Awaiting Trial☐ On Pretrial Release: Ordered by _____ on _____Charging Document: ☐ Complaint ☐ Information ☒ IndictmentTotal # of Counts: ☐ Petty _____ ☐ Misdemeanor _____ ☒ Felony 7

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.Date: 10-28-09 Signature of AUSA: _____

JS 45 (5/97) - (Revised USAO MA 11/15/05) Page 2 of 2 or Reverse

District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant Mark Philip

U.S.C. Citations

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 USC §1343</u>	<u>wire fraud</u>	<u>1 to 5</u>
Set 2	<u>18 USC §371</u>	<u>conspiracy</u>	<u>6</u>
Set 3	<u>18 USC §1001</u>	<u>false statements</u>	<u>16</u>
Set 4	_____	_____	_____
Set 5	_____	_____	_____
Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION:

Criminal Case Cover Sheet**U.S. District Court - District of Massachusetts**Place of Offense: Hopkinton Category No. I Investigating Agency FDACity Massachusetts Related Case Information:County MiddlesexSuperseding Indictment 09 CR 10330 GAO Case No. 30
Same Defendant GAO New Defendant _____
Magistrate Judge Case Number _____
Search Warrant Case Number _____
R 20/R 40 from District of _____**Defendant Information:**Defendant Name William Heppner Juvenile ☐ Yes ☒ No

Alias Name _____

Address Glenview, IllinoisBirth date (Year only): 1968 SSN (last 4 #): 2035 Sex M Race: _____ Nationality: USADefense Counsel if known: Robert Ullmann Address: 155 Seaport Blvd, Boston, MA

Bar Number: _____

U.S. Attorney Information:AUSA Jeremy Sternberg Bar Number if applicable _____Interpreter: ☐ Yes ☒ No List language and/or dialect: _____Victims: ☒ Yes ☐ No If Yes, are there multiple crime victims under 18 U.S.C. §3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☐ Yes ☒ No☐ Warrant Requested ☒ Regular Process ☐ In Custody**Location Status:**

Arrest Date: _____

☐ Already in Federal Custody as _____ in _____☐ Already in State Custody _____ ☐ Serving Sentence ☐ Awaiting Trial☐ On Pretrial Release: Ordered by _____ on _____Charging Document: ☐ Complaint ☐ Information ☒ IndictmentTotal # of Counts: ☐ Petty _____ ☐ Misdemeanor _____ ☒ Felony 6

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.Date: 10-28-09 Signature of AUSA: Jeremy Sternberg

JS 45 (5/97) - (Revised USAO MA 11/15/05) Page 2 of 2 or Reverse

District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant William Heppner

U.S.C. Citations

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 U.S.C. §1343</u>	<u>wire fraud</u>	<u>1 to 5</u>
Set 2	<u>18 U.S.C. §371</u>	<u>conspiracy</u>	<u>6</u>
Set 3	_____	_____	_____
Set 4	_____	_____	_____
Set 5	_____	_____	_____
Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION:

Criminal Case Cover Sheet**U.S. District Court - District of Massachusetts**Place of Offense: Hopkinton Category No. I Investigating Agency FDACity Massachusetts Related Case Information:County Middlesex

Superseding Ind./ Inf.

Same Defendant

New Defendant

Magistrate Judge Case Number

Search Warrant Case Number

R 20/R 40 from District of

09 CR 10330 GAO

Defendant Information:Defendant Name David Ard Juvenile ☐ Yes ☒ No

Alias Name

Address Alamo, CaliforniaBirth date (Year only): 1964 SSN (last 4 #): 4762 Sex M Race: Nationality: USADefense Counsel if known: Robert Keefe, Wilmer Hale Address: 60 State St., Boston, MA

Bar Number:

U.S. Attorney Information:AUSA Jeremy Sternberg Bar Number if applicableInterpreter: ☐ Yes ☒ No

List language and/or dialect:

Victims: ☒ Yes ☐ No If Yes, are there multiple crime victims under 18 U.S.C. §3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☐ Yes ☒ No☐ Warrant Requested☒ Regular Process☐ In Custody**Location Status:**

Arrest Date:

☐ Already in Federal Custody as in☐ Already in State Custody ☐ Serving Sentence ☐ Awaiting Trial☐ On Pretrial Release: Ordered by onCharging Document: ☐ Complaint ☐ Information ☒ IndictmentTotal # of Counts: ☐ Petty ☐ Misdemeanor ☒ Felony 7

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.Date: 10 28 09Signature of AUSA: Jeremy Sternberg

JS 45 (5/97) - (Revised USAO MA 11/15/05) Page 2 of 2 or Reverse

District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant David Ard

U.S.C. Citations

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 USC §1343</u>	<u>Wire Fraud</u>	<u>1 to 5</u>
Set 2	<u>18 USC §371</u>	<u>Conspiracy</u>	<u>6</u>
Set 3	<u>21 USC §331(k)</u>	<u>Misbranding</u>	<u>13</u>
Set 4	_____	_____	_____
Set 5	_____	_____	_____
Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION:

JS 45 (5/97) - (Revised USAO MA 11/15/05)

Criminal Case Cover Sheet**U.S. District Court - District of Massachusetts**Place of Offense: Hopkinton Category No. I Investigating Agency FDACity Massachusetts Related Case Information:County Middlesex

Superseding Ind./ Inf.

Same Defendant

New Defendant

Magistrate Judge Case Number

Search Warrant Case Number

R 20/R 40 from District of

Case No.

09 CR 10330 GAO**Defendant Information:**Defendant Name Jeffrey Whitaker

Juvenile

☐ Yes☒ No

Alias Name

Address North CarolinaBirth date (Year only): 1963 SSN (last 4 #): 9133 Sex M Race: Nationality: USADefense Counsel if known: Frank LibbyAddress: 175 Federal St., Boston, MA

Bar Number:

U.S. Attorney Information:AUSA Jeremy Sternberg

Bar Number if applicable

Interpreter: ☐ Yes ☒ No

List language and/or dialect:

Victims: ☒ Yes ☐ No If Yes, are there multiple crime victims under 18 U.S.C. §3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☐ Yes ☒ No☐ Warrant Requested☒ Regular Process☐ In Custody**Location Status:**

Arrest Date:

☐ Already in Federal Custody as

in

☐ Already in State Custody☐ Serving Sentence☐ Awaiting Trial☐ On Pretrial Release: Ordered by

on

Charging Document:

☐ Complaint☐ Information☒ Indictment

Total # of Counts:

☐ Petty☐ Misdemeanor☒ Felony7

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.Date: 10-28-09

Signature of AUSA:



JS 45, (5/97) - (Revised USAO MA 11/15/05) Page 2 of 2 or Reverse

District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant _____

U.S.C. Citations

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 USC §1343</u>	<u>wire fraud</u>	<u>1 to 5</u>
Set 2	<u>18 USC §371</u>	<u>conspiracy</u>	<u>6</u>
Set 3	<u>21 USC §331(k)</u>	<u>misbranding</u>	<u>14</u>
Set 4	_____	_____	_____
Set 5	_____	_____	_____
Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION: